

PTO/SB/21 (09/04)

Approved for use through 07/31/2006. OMB 0651-0031  
U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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B / 2621  
CPC**TRANSMITTAL  
FORM**

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission 61

Application Number 09/682,071

Filing Date 07/17/2001

First Named Inventor Shantanu V. Kaushikkar

Art Unit 2621

Examiner Name Jose L. Couso

Attorney Docket Number 3351.1

**ENCLOSURES (check all that apply)**☒ Fee Transmittal Form☐ Fee Attached☐ Amendment / Reply☐ After Final☐ Affidavits/declaration(s)☐ Extension of Time Request☐ Express Abandonment Request☒ Information Disclosure Statement☐ Certified Copy of Priority Document(s)☐ Reply to Missing Parts/  
Incomplete Application☐ Reply to Missing Parts  
under 37 CFR 1.52 or 1.53☐ Drawing(s)☐ Licensing-related Papers☐ Petition☐ Petition to Convert to a  
Provisional Application☐ Power of Attorney, Revocation  
Change of Correspondence Address☐ Terminal Disclaimer☐ Request for Refund☐ CD, Number of CD(s) \_\_\_\_\_☐ Landscape Table on CD☐ After Allowance Communication to TC☐ Appeal Communication to Board  
of Appeals and Interferences☐ Appeal Communication to TC  
(Appeal Notice, Brief, Reply Brief)☐ Proprietary Information☐ Status Letter☒ Other Enclosure(s)  
(please identify below):

- Copy of Fee Transmittal (1 Page)

- Form SB/08 (2 Pages)

- 5 References (44 Pages)

- Copy of PCT International Search Report  
(10 Pages)**Remarks**

- Information Disclosure Statement (2 Pages)

**SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT**

Firm

Affymetrix, Inc.

Signature

Printed Name

William R. McCarthy III

Date

5/2/2005

Reg.  
No.

55,788

**CERTIFICATE OF TRANSMISSION/MAILING**

I hereby certify that this correspondence is being facsimile transmitted to the USPTO or deposited with the United States Postal Service with sufficient postage as first class mail in an envelope addressed to: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450 on the date shown below.

Signature

Typed or printed name

William R. McCarthy III

Date

5/2/2005

This collection of information is required by 37 CFR 1.5. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.11 and 1.14. This collection is estimated to 12 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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Effective on 12/08/2004.  
Fee pursuant to the Consolidated Appropriations Act, 2005 (H.R. 4818).

## FEE TRANSMITTAL for FY 2005

☐ Applicant claims small entity status. See 37 CFR 1.27

TOTAL AMOUNT OF PAYMENT (\$ ) 180

### Complete if Known

Application Number	09/682,071
Filing Date	07/17/2001
First Named Inventor	Shantanu V. Kaushikkar
Examiner Name	Jose L. Couso
Art Unit	2621
Attorney Docket No.	3351.1

### METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit Card ☐ Money Order ☐ None ☐ Other (please identify) : \_\_\_\_\_

☒ Deposit Account Deposit Account Number: 01-0431 Deposit Account Name: Affymetrix, Inc.

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☒ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, **except for the filing fee**

☒ Charge any additional fee(s) or underpayments of fee(s) ☒ Credit any overpayments

Under 37 CFR 1.16 and 1.17

WARNING: Information on this form may become public. Credit card information should not be included on this form. Provide credit card information and authorization on PTO-2038.

### FEE CALCULATION

#### 1. BASIC FILING, SEARCH, AND EXAMINATION FEES

Application Type	FILING FEES		SEARCH FEES		EXAMINATION FEES		Fees Paid (\$)
	Fee (\$)	Small Entity Fee(\$)	Fee(\$)	Small Entity Fee(\$)	Fee(\$)	Small Entity Fee(\$)	
Utility	300	150	500	250	200	100	_____
Design	200	100	100	50	130	65	_____
Plant	200	100	300	150	160	80	_____
Reissue	300	150	500	250	600	300	_____
Provisional	200	100	0	0	0	0	_____

#### 2. EXCESS CLAIM FEES

##### Fee Description

Each claim over 20 (including Reissues)

Each independent claim over 30 (including Reissues)

Multiple dependent claims

Small Entity	
Fee (\$)	Fee (\$)
50	25
200	100
360	180

**Total Claims**      **Extra Claims**      **Fee(\$)**      **Fee Paid (\$)**

\_\_\_\_\_ -20 or HP= \_\_\_\_\_ x \_\_\_\_\_ = \_\_\_\_\_

HP = highest number of total claims paid for, if greater than 20.

**Indep. Claims**      **Extra Claims**      **Fee(\$)**      **Fee Paid (\$)**

\_\_\_\_\_ - 3 or HP= \_\_\_\_\_ x \_\_\_\_\_ = \_\_\_\_\_

HP = highest number of independent claims paid for, if greater than 3.

#### 3. APPLICATION SIZE FEE

If the specification and drawings exceed 100 sheets of paper (excluding electronically filed sequence or computer listings under 37 CFR 1.52(e)), the application size fee due is \$250 (\$125 for small entity) for each additional 50 sheets or fraction thereof. See 35 U.S.C. 41(a)(1)(G) and 37 CFR 1.16(s).

Total Sheets	Extra Sheets	Number of each additional 50 or fraction thereof	Fee (\$)	Fee Paid (\$)
_____	_____	_____ / 50 = _____ (round up to a whole number) x _____	_____	_____

#### 4. OTHER FEE(S)

Non-English Specification, \$130 fee (no small entity discount)

180

Other (e.g., late filing surcharge) : Submission of an Information Disclosure Statement

### SUBMITTED BY

Signature		Registration No. (Attorney/Agent)	55,788	Telephone	781-280-1522
Name (Print/Type)	William R. McCarthy III	Date	5/2/2005		

This collection of information is required by 37 CFR 1.136. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 30 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.

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PATENT  
Attorney Docket No. 3351.1

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

Applicants: Shantanu V. Kaushikkar et al.

Examiner: Jose L. Couso

Serial No: 09/682,071

Group Art Unit: 2621

Filing Date: 07/17/2001

2<sup>nd</sup> SUPPLEMENTAL  
INFORMATION DISCLOSURE  
STATEMENT

**Title: System, Method, and Computer  
Software Product for Gain Adjustment  
in a Biological Microarray Scanner**

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Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

Dear Examiner Couso:

Pursuant to 37 CFR § 1.56, § 1.97 and § 1.98, the documents listed on the accompanying U.S. Patent & Trademark Office's Modified Form-1449 are called to the attention of the Examiner for consideration in connection with the above-identified patent application. Copies of the references are provided herewith.

Citation of these documents shall not be construed as (1) an admission that the documents are necessarily prior art with respect to the instant invention; (2) a representation that a search has been made; or (3) an admission that the information cited herein is, or is considered to be, material to patentability in any way, including that as defined in § 1.56(b).

Applicants understand that a Notice of Allowance has been issued in the present application, but hereby state that each item of information contained in this Information Disclosure Statement was first cited in a communication from the International Preliminary Examining Authority in a counterpart PCT application not more than 3 months prior to the filing of this statement. Some references cited in the present communication (PCT International Search Report) were first cited in a previous

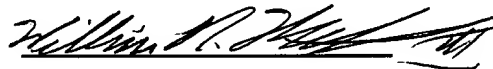
communication (PCT Invitation to Pay Additional Fees) from the International Preliminary Examining Authority and were appropriately cited in the Information Disclosure Statement filed January 3, 2005, where each reference cited was acknowledged by the Examiner.

Applicants understand that due to the late stage of prosecution a fee is required for submission of this statement and is filed concurrently herewith. The Commissioner is hereby authorized to charge any additional fees that may be required to Account No. 01-0431 in order to have this Information Disclosure Statement considered.

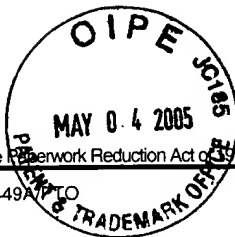
Dated: 5/2/2005

Respectfully submitted,

Customer No. 22886  
Legal Department  
Affymetrix, Inc.  
3380 Central Expressway  
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William R. McCarthy III Reg. No. 55,788



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<i>Application Number</i>	09/682,071
<i>Filing Date</i>	07/17/2001
<i>First Named Inventor</i>	Shantanu V. Kaushikkar
<i>Art Unit</i>	2621
<i>Examiner Name</i>	Jose L. Couso
<i>Attorney Docket Number</i>	3351.1

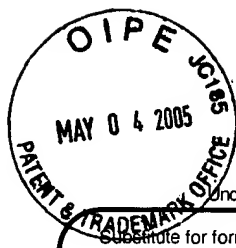
[illegible][illegible]

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. \* Applicant's unique citation designation number (optional). \* See Kinds Codes of USPTO Patent Documents at [www.uspto.gov](http://www.uspto.gov) or MPEP 901.04. \* Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). \* For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. \* Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. \* Applicant is to place a check mark here if English language Translation is attached.

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PTO/SB/08b(08-03)

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Substitute for form 1449B/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)

Sheet 2 of 2

**Complete if Known**

Application Number	09/682,071
Filing Date	07/17/2001
First Named Inventor	Shantanu V. Kaushikkar
Art Unit	2621
Examiner Name	Jose L. Couso
Attorney Docket Number	3351.1

**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
	B1	Khan J. et al.; "DNA Microarray Technology: the anticipated impact on the study of human disease"; BIOCHIMICA ET BIOPHYSICA ACTA, Amsterdam, NL; vol. 1423, No. 2; 25 March, 1999; Pages M17-M28	
	B2	Xiang C. C.; "cDNA Microarray Technology and its Applications"; BIOTECHNOLOGY ADVANCES, Elsevier Publishing, Barking GB; vol. 18, No. 1; March 2000; Pages 35-46	
	B3	Cortese J. D.; "Array of Options: Instrumentation to Exploit the DNA Microarray Explosion"; SCIENTIST, Institute for Scientific Information, US; vol. 14, No. 11; 29 May 2000; Pages 1-4	
	B4	Bowtell D. D. L.; "Options Available - From Start to Finish - For Obtaining Expression Data by Microarray"; NATURE GENETICS, NY, NY, US; vol. 21, No. SUPPL; January 1999; Pages 25-32	

Examiner Signature		Date Considered	
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\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup> Applicant's unique citation designation number (optional). <sup>2</sup> Applicant is to place a check mark here if English language Translation is attached.

This collection of information is required by 37 CFR 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 120 minutes to complete, including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, U.S. Department of Commerce, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SEND FEES OR COMPLETED FORMS TO THIS ADDRESS. SEND TO: **Commissioner for Patents, P.O. Box 1450, Alexandria, VA 22313-1450.**

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